

NAVAL POSTGRADUATE SCHOOL

Monterey, California



DESIGN OF AN OPERATIONAL
MANAGEMENT DEVELOPMENT MANUAL

William H. Githens, Richard S. Elster,
Gerald L. Musgrave, and John W. Creighton

June 1973

Final Report for Period
June 1972 to June 1973

Approved for public release; distribution unlimited
Prepared for:
Office of the Chief of Naval Material
Pentagon, Washington, D.C.

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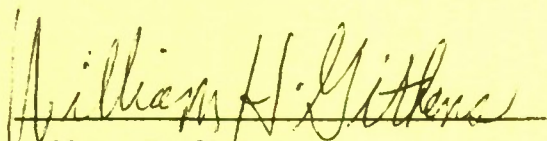
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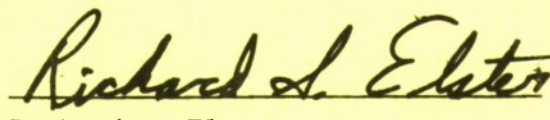
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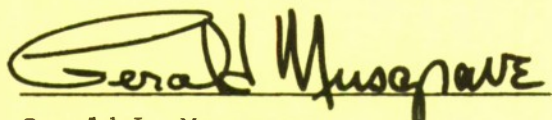
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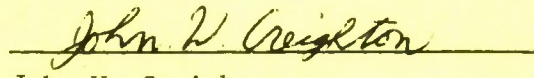
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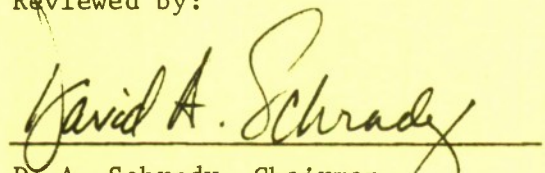

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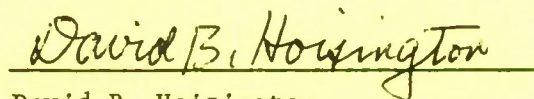

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SECURITY CLASSIFICATION OF THIS PAGE (When Data Entered)

REPORT DOCUMENTATION PAGE		READ INSTRUCTIONS BEFORE COMPLETING FORM
1. REPORT NUMBER NPS-55Gh73062	2. GOVT ACCESSION NO.	3. RECIPIENT'S CATALOG NUMBER
4. TITLE (and Subtitle) DESIGN OF AN OPERATIONAL MANAGEMENT DEVELOPMENT MANUAL		5. TYPE OF REPORT & PERIOD COVERED Final: June 1972-June 1973.
		6. PERFORMING ORG. REPORT NUMBER
7. AUTHOR(s) William H. Githens, Richard S. Elster, Gerald L. Musgrave, and John W. Creighton		8. CONTRACT OR GRANT NUMBER(s)
9. PERFORMING ORGANIZATION NAME AND ADDRESS Naval Postgraduate School Monterey, California 93940 Code 55Gh		10. PROGRAM ELEMENT, PROJECT, TASK AREA & WORK UNIT NUMBERS PO--2-0010
11. CONTROLLING OFFICE NAME AND ADDRESS Naval Material Command Pentagon, Washington, D.C.		12. REPORT DATE June 1973
		13. NUMBER OF PAGES 21
14. MONITORING AGENCY NAME & ADDRESS (if different from Controlling Office) Naval Supply Systems Command HQ SUP 09T BLD 3, Crystal Mall, VA		15. SECURITY CLASS. (of this report) Unclassified
		15a. DECLASSIFICATION/DOWNGRADING SCHEDULE
16. DISTRIBUTION STATEMENT (of this Report) Approved for public release; distribution unlimited.		
17. DISTRIBUTION STATEMENT (of the abstract entered in Block 20, if different from Report)		
18. SUPPLEMENTARY NOTES		
19. KEY WORDS (Continue on reverse side if necessary and identify by block number) Management Civilian Personnel Administration Performance appraisal Personnel Development Civilian Career Development Management by objectives		
20. ABSTRACT (Continue on reverse side if necessary and identify by block number) This report describes the management development program established at the Naval Regional Finance-Center, San Diego, and the Naval Supply-Center, San Diego. The program includes elements of management by objectives, group performance appraisal and performance counseling.		

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INTRODUCTION

This report is one of six Naval Postgraduate School technical reports documenting and describing a research project titled, "Design of an Operational Personnel Development and Evaluation System," sponsored by the Naval Material Command. The following is a listing of these six reports:

1. NPS-55Gh73061
DESIGN OF AN OPERATIONAL PERSONNEL
DEVELOPMENT AND EVALUATION SYSTEM
by: William H. Githens, Richard S. Elster,
Gerald L. Musgrave, and John W. Creighton.
2. NPS-55Ea73061
DESIGN OF OPERATIONAL CAREER LADDERS
by: Richard S. Elster, Robert R. Read,
William H. Githens, Gerald L. Musgrave,
and John W. Creighton.
3. NPS-55Gh73062
DESIGN OF AN OPERATIONAL MANAGEMENT
DEVELOPMENT MANUAL
by: William H. Githens, Richard S. Elster,
Gerald L. Musgrave, and John W. Creighton.
4. NPS-55Gh73063
DESIGN OF AN OPERATIONAL RATING MANUAL
by: William H. Githens, Richard S. Elster,
Gerald L. Musgrave, and John W. Creighton.
5. NPS-Mg73061
DESIGN OF AN OPERATIONAL MANAGEMENT BY
OBJECTIVES MANUAL
by: Gerald L. Musgrave, Richard S. Elster,
John W. Creighton, and William H. Githens.
6. NPS-55Rr73061
STATISTICAL ANALYSIS OF PERSONNEL DATA USING
FACTOR SCORING, CLUSTER ANALYSIS, AND MULTI-
DIMENSIONAL SCALING
by: Robert R. Read, Richard S. Elster,
Gerald L. Musgrave, John W. Creighton,
and William H. Githens.

An executive summary of the entire project follows, and any additional information about the project can be obtained from the Project's Principal Investigator, Dr. Gerald L. Musgrave, Department of Operations Research and Administrative Sciences, Naval Postgraduate School, Monterey, California 93940.

EXECUTIVE SUMMARY
OF
THE PERSONNEL DEVELOPMENT AND EVALUATION SYSTEM

INTRODUCTION

The purpose of this research project was to develop and implement a management system to more effectively utilize civilian professionals. Two "test bed" activities were selected--Naval Supply Center and Naval Regional Finance Center, both in San Diego, California. The project has four parts:

1. Establishing a Group Appraisal System.
2. Developing a Goal Setting System.
3. Constructing Performance Rating Scales.
4. Developing Career Ladders.

GROUP APPRAISAL

The management development program involved civilian professionals at the two commands in group performance appraisal sessions. A professional's work performance was usually appraised by his supervisor and by the supervisor's superior. This group would meet with a member of the research team. The appraisals conducted by these groups were focused on, and limited to, intra-appraisee considerations. That is, the appraisal committee considered the individual in terms of his greatest strengths and his least strong work performances, but did not compare the appraisee with other individuals. Recommendations for the appraisee, for the appraisee's supervisor, and for the organization were then made so that this appraisee (a "human asset") could grow in worth to himself and to the organization.

A summary of the appraisal committee's thinking was then written by the research team member who had attended the committee's meeting and given to the appraisee's supervisor for his review. The supervisor then discussed the appraisal with the appraisee, stating that this is "how others see and interpret you," and that "here are our thoughts on how you might further develop and utilize your talents."

The responses to the appraisal program were varied. A number of appraisees stated informally that they felt their appraisal session with their supervisor had been one of the most meaningful experiences they had while in the Civil Service. Many supervisors, however, experienced their first exposure to a face-to-face dialogue with one of their subordinates and found the feedback session to be somewhat traumatic. The development of supervisory skills in these feedback behaviors appears to be a crucial requirement if face-to-face dialogues between supervisors and subordinates are to become common and meaningful.

GOAL SETTING

Another part of the project was to establish a framework to foster and facilitate a "result oriented" management system. Our experience was that effective goals could be established and that while it took time to develop goals, the act of setting goals was beneficial to the organization.

Goal setting was new to managers and they were resistant to formalizing goals. Some of the resistance seemed to be attributable to unfamiliarity with the concept of producing results, as compared to being engaged in activities. Another resistive force seemed to be the fear that goal setting would be used for punitive managerial actions.

We believe that after more experience is gained in goal setting and when employees' fears of consequential management action are found to be unwarranted, a greater acceptance of the program will result.

Our research at the Naval Postgraduate School and the San Diego Centers leads to the development of a new Goals and Controls System. This system includes a Work Performance Folder and a Goal Setting Manual that is to be used in conjunction with the folder. The system can be used to formulate goals, monitor and control performance, and to appraise work performance at the end of the year.

PERFORMANCE RATING SCALES

Section IV of this report presents the rating scales which were developed for professional occupations in Supply and Finance.

ANCILLARY STUDIES

The project report includes a number of sections which are indirectly related to the central issues of performance appraisal, goal setting, scale construction and career ladders. These related sections include analyses of questionnaires administered to individuals at the Centers, bibliographic resource materials, and a number of related ancillary studies. These studies are related to human asset accounting, goal setting, auditing, and statistical analyses of organizational climate and attitudinal data from the Centers.

BACKGROUND

During Fiscal Year 1972, the Navy Material Command financed investigations by Naval Postgraduate School (NPS) faculty as part of their exploratory research directed at developing methods and means for improving organizational effectiveness. In the course of various dialogues concerning NAVMAT operations, topics related to the age and replacement of professional civilian personnel were discussed. These discussions then turned to the issues of performance evaluation and management by objectives. The Office of Civilian Manpower Management (OCMM) became interested in these problems, and the NPS was requested by NAVMAT and OCMM personnel to submit a proposal for implementing some relevant managerial programs during FY 73. NPS responded with the proposal included as Appendix 1.

The proposal involved the following main objectives:

1. Developing for each civilian professional specific ways in which he can improve his knowledge, skills, attitudes, or behaviors to make him a more valuable human asset for the Navy.
2. Develop for each civilian professional a list of specific ways in which management can better utilize his talent.
3. Advise each civilian professional of what his boss wants him to accomplish during the coming year, and the evidence that will be used to judge such accomplishment.
4. Generate for each professional position the best performance rating scales allowed by current technology.
5. Generate "career ladders" for civilian professional jobs that relate field jobs to jobs in Washington, D.C. These "ladders" were to be based on the similarities and differences between and among jobs.

The on-site locations for this "demonstration" project were the Naval Supply Center, San Diego, and the Navy Regional Finance Center, San Diego. The main administrative offices for both organizations are located in the same building and both organizations are served by the same personnel department. Tables of organization for these two organizations, which show only the professional civilian billets and the hierarchy above them, are presented in Appendix 2. These two organizations were chosen because: (1) they are located in the same building, (2) this choice would allow one of the principal investigators to be on-site full-time, (3) they were within reasonable commuting distance from the Naval Postgraduate School in Monterey, and (4) both were considered by NAVMAT and NAVCOMPT personnel to be relatively healthy and efficient organizations.

A combination of "Management by Objectives" and "Group Appraisal" was used in accomplishing the first three of the five above objectives. Working from the higher toward the lower positions in the organizational hierarchy,

each supervisor called a committee meeting with his supervisor and several other employees who would have been in a position to observe the work performance of the appraisee. Following a brief discussion of the "strongest" and "least strong" aspects (intra-individual) of the appraisee's performance, the committee developed a list of recommendations in keeping with the first two of the aforementioned objectives. (Each of these discussions focused only on intra-individual differences.) Following this group meeting, the supervisor conducted a counseling session with the appraisee during which the opinions and recommendations of the committee were discussed. With this as a background, the supervisor and appraisee then worked out a list of specific goals for personal development to be accomplished during the coming year. In addition, based on the requirements and expectations of work accomplishment for the coming year as worked out by the supervisor and his boss, the supervisor and the appraisee (subordinate) worked out a list of goals for organizational accomplishment (objective #3) applying to the appraisee. Thirty of the 85 professional employees at NSC and all 25 of the professional employees at NRFC were covered by this program. Part II of this report deals with the developmental activities involved in objectives 1 and 2, while Part III of this report is concerned with the MBO portion (objective #3) of the project.

Generation of the best performance rating scales for each professional job (objective #4) involved the following scale construction steps:

1. A group of employees (3 to 6) familiar with the job listed the most relevant aspects of performance for the specific job.
2. The group then generated "specific" behavioral examples they had observed that demonstrated high and low performance on each performance aspect.
3. At a later time, these behavioral incidents were presented to the individuals in the group, who assigned them to the rating scale (aspect) and rating scale level (low to high on a 5-point scale) that they thought appropriate.
4. Incidents that were not by consensus assigned to the same location (both rating scale and level) were eliminated.

This procedure yielded rating scales that are relevant to the job being rated and that are "anchored" by specific behavioral incidents representing on the scales the various levels of job performance.

Rating scales were constructed for 6 of the 27 civilian professional jobs at NSC and for 3 of the 7 jobs at NRFC. General "supervisory" scales were constructed covering 11 of the 21 remaining jobs at NSC and all 4 of the remaining professional jobs at NRFC. Part IV of this report and Technical Report NPS55Gh73063 present the scale construction work conducted during the research project.

In support of objective #5, a task inventory asking employees to list the degree to which they were involved in various activities was administered

to 85 civilian professionals at NSC and 26 civilian professionals at NRFC. The same inventory was completed by civilian professionals in NAVSUP and NAVCOMPT in Washington, D.C. The data from the responses to this inventory formed the basis for the investigation of career paths, which was objective #5 of this project. The research done on career paths is described in Technical Report NPS55Ea73062.

Another technical report in this series, NPS55Rr73061, contains ancillary studies conducted during the term of this project. These studies included one using multidimensional scaling in examining how supervisors differentiate among their subordinates, and another effort which involved developing a comprehensive bibliography of the Management by Objectives literature.

PURPOSE OF THE MANAGEMENT DEVELOPMENT MANUAL

This manual describes the intentions, methods, and procedures involved in the Management Development Program.

The enclosed material is organized such that any specific phase of the program can be located easily. It is not necessary to be completely familiar with all sections in order to understand any one section; however, reading this manual from cover to cover will provide the reader with an excellent background in all aspects of the Management Development Program.

MANAGEMENT DEVELOPMENT PROGRAM

Purpose and Scope: Responsibility for the improvement of subordinates rests with the line supervisor. Each supervisor, as a basic part of his position, must actively encourage and foster growth in those he supervises. Unfortunately, by becoming involved in day-to-day routines, it is common for supervisors to neglect this important part of their responsibility. The program is designed to assist all supervisors in effectively meeting this responsibility. This program involves the use of both Management by Objectives and Developmental Appraisals. This program will:

- a. Provide each supervisor with the benefits of having his job performance reviewed by a committee of his superiors (Developmental Committee), followed by a counseling session with his immediate supervisor in which he has an opportunity to participate in programming his own development.
- b. Provide each supervisor above the first level of supervision with both a committee's thorough review of his subordinate supervisors, and staff assistance in counseling when requested.
- c. Strengthen the line organization in such things as communication and efficiency because of greater understanding between adjacent levels of supervision and alignment of individual goals with organizational goals.
- d. As a result of the above points, foster the development of each participant.

Structure:

- a. Each developmental committee shall consist of:
 1. The appraisee's direct supervisor who acts as chairman.
 2. The direct supervisor's supervisor.
 3. Preferably one or two other supervisors who are in a position to observe the appraisee and his performance. These personnel will not be in a competitive category with the appraisee and will usually be above the organizational level of the appraisee. These individuals are selected by the direct supervisor, and are not necessarily from the same department.
 4. The Staff Coordinator.*
- b. Management by Objectives: This is worked out on an individual basis and involves every adjacent level of supervision in the organizational hierarchy.

*During the research conducted at NSC and NRFC in San Diego, the Staff Coordinator was one of the Naval Postgraduate School faculty members on the research team.

General Procedures in the Program;

a. The staff coordinator contacts each department head to schedule the program and assists in an orientation presentation to the supervisors involved in order to familiarize them with the purposes of both the Developmental Committee Program and the Management by Objectives Program.

b. Beginning with the higher level supervisors and cascading downward, the immediate supervisor (Chairman) of the individual to be appraised picks his developmental committee members and arranges for a place and time to meet. He explains what he desires to members not previously familiar with the program, and sees that they are given a copy of this Manual.

c. The appraisee's direct supervisor serves as chairman of the committee while the staff coordinator only intervenes to obtain clarification of a point, bring the discussion back to the scope of the developmental program, or to stimulate coverage of all matters. The committee first discusses and clarifies the duties and responsibilities of the job held by the appraisee. Following this discussion, the committee discusses the performance of the appraisee in filling the job, each member pointing out what he considers are the individual's strongest and least strong points. From a detailed discussion of specific incidents, the committee then abstracts out what it considers are the strongest and least strong qualities of the appraisee. Finally, and most important, the committee makes suggestions for the appraisee's development.

d. Following the session, the Staff Coordinator prepares a report of the session which is made available to the appraisee's supervisor to aid him in his counseling session. Tab D presents the general format of this report.

e. Within one week after the developmental committee's session, the appraisee's direct supervisor will hold a conference (counseling session) with the appraisee and discuss all the material placed in the report. The appraisee's supervisor will work with the appraisee to set goals for improvement and will counsel him in an attempt to keep these goals, as well as the methods of obtaining them, realistic. Both "personal development" and "job-centered" goals will be included. A Management by Objectives process of establishing measurable goals for the next year will be part of this counseling session. The Staff Coordinator will be available for advice on conducting this counseling session. The appraisee's supervisor will make a record (Tab F) of the resultant program and deliver it to the Commanding Officer.

f. Periodic memoranda, based on the above material, will be sent to the appraisee's supervisor to remind him of any plans or goals that were set.

CHAIRMAN'S DUTIES IN DEVELOPMENTAL COMMITTEES

1. As the chairman of the committee, you will have the usual responsibilities for maintaining order, providing an opportunity for all members to express their views, and keeping the discussion on the business at hand.

2. You are at liberty to conduct the meeting in any manner you see fit. In general, the following procedure has worked well in these sessions:

a. Call meeting to order.

b. State purpose of meeting. (To review the appraisee's strongest and least strong points and to make suggestions for his development. Tell how you plan to conduct the meeting (see following items).)

c. Give a very brief summary of the appraisee's previous work experience.

d. Read major headings of the appraisee's present job description.

e. Call on members to express their views as to the appraisee's strongest and least strong points. (It is usually better to first call on the members who are less familiar with the appraisee's work--this helps in keeping them from being influenced by a member who may have very strong feelings about the appraisee.)

f. Help clarify any comments made by members which may be vague. (The Staff Coordinator will also attempt to do this.)

g. Give your own observations and analysis of the appraisee's performance.

h. Ask members to recommend suggestions for action by (a) the appraisee himself; (b) the supervisor; or (c) management to improve the appraisee's knowledge, skills, or attitudes while in his present position. Be sure to consider how the organization could benefit from the appraisee's strongest aspects. Have an open discussion of these suggestions. This is the basic purpose of the meeting and should therefore be emphasized significantly more than any of the other considerations listed here.

i. Call on the Staff Coordinator to read his notes which will be used as the basis for the written report. Since the development of the appraisee is your responsibility, you may eliminate from the record any part you think will not be of benefit to the appraisee.

j. When all have agreed with all items in the Staff Coordinator's notes, adjourn the meeting.

4. This program is designed to aid you in providing as much opportunity as is practical for the appraisee's development. If for some reason you do not want to try to improve this man's performance of his present duties, or you have any questions concerning this program, contact the Staff Coordinator before the appraisal committee meeting.

MEMBER'S DUTIES IN DEVELOPMENTAL COMMITTEE

1. As a committee member, you will be called upon to present your views as to the appraisee's personal strongest and least strong points (as reflected by his job performance). After all members' views have been discussed, you will be expected to participate in developing a list of suggestions for action by either the appraisee himself or management. These suggestions should be designed to bring about improved performance and personal development of the appraisee while in his present position. It is expected that this will also make him a more valuable employee for possible transfers or promotions.
2. The sole purpose of the appraisal is to aid the appraisee's supervisor in providing opportunity for the appraisee to develop. It is not within the scope of the appraisal committee to recommend promotion, demotion, change in pay, or any disciplinary action. Nor is the committee to judge the appraisee as "good" or "bad," nor to compare him with others.
3. If you have any questions concerning this program, please contact the Staff Coordinator before the developmental committee meeting.

FORMAT OF A DEVELOPMENTAL COMMITTEE REPORT

Appraisee _____ Period of
Appraisal _____

Date of Appraisal Meeting _____

Members of Appraisal Committee:

_____, Chairman

_____, Staff Coordinator

I. ANALYSIS OF THE APPRAISEE:

A. Strongest aspects:

- 1.
- 2.
- 3.
- 4.

B. Least strong aspects:

- 1.
- 2.
- 3.
- 4.

II. RECOMMENDATIONS FOR IMPROVEMENT:

A. Self:

- 1.
- 2.
- 3.
- 4.

B. Supervisor:

- 1.
- 2.
- 3.

C. Organization:

- 1.
- 2.
- 3.

Tab D

CHAIRMAN'S DUTIES IN COUNSELING APPRAISEES

1. The Developmental Committee Report should be used along with the techniques of Management by Objectives to counsel the appraisee. If the individual involved and his organization are to benefit from this appraisal, it must be presented to the individual in a manner that will bring about his eventual acceptance of the comments and appropriate change in performance. You, as this man's direct supervisor, have the responsibility for seeing that this is done. Of even greater benefit would be a program for improvement arrived at mutually between you and this man. You will find that the appraisal report is an excellent way to start the development of such a mutual program. Because no two individuals are alike, there is no one "best" way to do the above. However, experience has shown the following points to be generally helpful:

a. In advance plan your basic approach for presenting the material. How can the material be presented so it will cause an appropriate change in behavior? How will you shift from presenting the developmental report to mutually developing a program for improvement?

b. Arrange a time and place for the discussion so that there will be no interruptions.

c. Assure the appraisee that the developmental committee's primary concern was to help him do a better job. The committee did not consider promotion, demotion, salary change, etc.

d. The appraisee should be permitted to know all that is on the developmental committee report, and should be given a copy of it.

e. It is not necessary for the appraisee to say he "is" as described by the appraisal. The point to be made is that this is the way people "interpret" him.

f. Do not dwell on the past; the main emphasis should be on planning improvements in both job performance and personal development.

g. In setting goals for improvement, you may set them alone or involve the appraisee in setting them. When feasible, mutual goal setting is recommended because when an individual participates in goal setting, he is more likely to take personal pride in completing the task. Keep goals within the possibility of being accomplished.

2. In order to give emphasis to both (a) individual or personal development, and (b) organizational accomplishment, it is desirable to formulate a set of goals for each.

a. The personal development goals have as their purpose the acquisition by the appraisee of knowledge, skill, attitude and

behavior so that the appraisee is a more valuable human asset for the Navy. The recommendations contained in the "Developmental Report" are directed to this purpose and usually make an excellent base for the generation of these "personal development" goals.

b. The organizational accomplishment goals have as their purpose the specifying of tasks, projects, etc. that you want this employee to work on and complete. Combined with your own efforts and those of others under your supervision, they should enable the portion of the organization under your direction to accomplish the objectives assigned to it by your superior. (This is not a concern of the Developmental Committees that meet concerning your subordinates.) It has been found that there are frequently differences of opinion between levels of supervision as to what should be worked on, the priority of tasks or projects, and what evidence is used to judge accomplishment. By specifying these, many of the typical problems can be eliminated. When regular performance evaluations are made, they should be based on the significance and degree of accomplishment of these organizational goals. The intent now is to be sure the appraisee knows in which directions you want him to direct his effort. It is usually difficult to give adequate attention to more than six goals at a time. It is also probable that three or fewer goals would not encompass the entire job. It is expected that some aspects of the job will not be covered by the goals and should be specified and listed as "maintenance goals." It is expected that these "maintenance goals" will be performed as in the past. It is not necessary to work out achievement levels (same as in past) or make explicit the evidence of accomplishment for these "maintenance goals."

Setting goals is not an easy task; it requires that you think through your role in the organization and verbalize your expectations for this particular employee. It should make the work relationship between you and your subordinate more explicit and more communicable.

Here is another way of viewing the organizational goal setting:

Assume the specific
employee asks you--

Your action

WHAT do you want me to get accomplished during the next year (or length of time that is reasonable)?

Prepare list of goals. Set date for completion. Set dates for completion of parts of the goal if appropriate.

WILL accomplishment of all items listed constitute satisfactory job performance?

You should be able to answer "Yes." If not, remaining maintenance goals should be specified.

HOW will you decide, or what evidence will you use to decide if the goals are accomplished or not?

Specify the evidence to be used. They should be as explicit as possible. Communicate to him how you are going to appraise his work.

3. The Staff Coordinator is available, at your request, to provide you with as much assistance as he can. It is important to work out performance goals (Management by Objectives) for the coming year which are relevant, realistic, and as objective as possible.

4. A Management by Objectives report form and an associated manual have been developed. This report and manual should be available to you via the staff coordinator.

5. Upon completion of your conference with the appraisee, submit to the Commanding Officer the following information:

a. The date the developmental results were presented to the appraisee.

b. The job performance goals that were set--their scheduling and the way they are to be measured.

c. The personal development goals that were set--their scheduling and the way they are to be measured.

d. For this memo, use the general format indicated in Tab F.

FORMAT FOR COUNSELING SESSION REPORT

From: _____
To: Commanding Officer

Subj: Counseling session; report on

1. Information generated by the developmental committee was presented to _____ on _____.
(Name) (Date)

2. As a result of the counseling session, the following job performance goals were set:

<u>GOAL</u>	<u>ACCEPTABLE EVIDENCE OF ACCOMPLISHMENT</u>	<u>TIME FRAME</u>
1.		
2.		
3.		
4.		

3. As a result of the counseling session, the following "personal development" goals were set:

<u>GOAL</u>	<u>ACCEPTABLE EVIDENCE OF ACCOMPLISHMENT</u>	<u>TIME FRAME</u>
1.		
2.		
3.		
4.		

Comments (optional):

STAFF COORDINATOR'S DUTIES

1. Familiarizes the supervisors with the Developmental Committee Program and the Management by Objectives Program.
2. Attends developmental committee sessions in order to:
 - a. Act as a catalyst during the sessions, if such behavior is required to stimulate coverage of all germane subject matter.
 - b. Keep the discussions of the appraisee's job performance on an intra-individual tack, and prevent inter-individual comparisons.
3. Prepares a report of the developmental committee's session which is then given to the appraisee's supervisor.
4. Volunteers to work with supervisors who are preparing for counseling sessions with their subordinates who have been appraised. The "what" and the "how" of the supervisor's tasks during a counseling session should be discussed with supervisors who are novices in these activities.
5. Prepares follow-up memoranda.

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